

07-05-02

CPA/2700  
#15  
7-15-02

-Please type a plus sign (+) inside this box

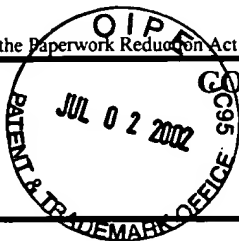


PTO/SB/29 (10-00) (modified)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



# CONTINUED PROSECUTION APPLICATION (CPA) REQUEST TRANSMITTAL

Submit an original, and a duplicate for fee processing

(Only for Continuation or Divisional applications under 37 CFR 1.53(d))

CHECK BOX, if applicable:

☐ DUPLICATE

Address to:

Box CPA  
Commissioner for Patents  
Washington, DC 20231

Attorney Docket No.  
of Prior Application

23037-03854

First Named Inventor

Richard W. Friesen et al.

Examiner Name

Charles R. Kyle

Group Art Unit

(2164)

Express mail Label No.

EL 734639658US

RECEIVED

JUL 09 2002

Technology Center 210C

This is a request for a ☒ continuation or ☐ divisional application under 37 CFR 1.53(d), (continued prosecution application (CPA)) of prior application number 09/289,550, filed on April 9, 1999, entitled User Interface For An Electronic Trading System.

## NOTES

**FILING QUALIFICATIONS:** The prior application identified above must be a nonprovisional application that is either: (1) complete as defined by 37 CFR 1.51(b), or (2) the national stage of an international application in compliance with 35 U.S.C. 371. Effective May 29, 2000, a CPA may only be filed in a utility or a plant application if the prior nonprovisional application was filed before May 29, 2000. A CPA may be filed in a design application regardless of the filing date of the prior application. See "Request for Continued Examination Practice changes to and Provisional Application Practice," Final Rule, 65 Fed. Reg. 50092 (Aug. 16, 2000); Interim Rule, 65 Fed. Reg. 14865 (Mar. 20, 2000), 1233 Off. Gaz. Pat. Office (Apr. 11, 2000).

**C-I-P NOT PERMITTED:** A continuation-in-part application cannot be filed as a CPA under 37 CFR 1.53(d), but must be filed under 37 CFR 1.53(b).

**EXPRESS ABANDONMENT OF PRIOR APPLICATION:** The filing of this CPA is a request to expressly abandon the prior application as of the filing date of the request for a CPA. 37 CFR 1.53(b) must be used to file a continuation, divisional, or continuation-in-part of an application that is not to be abandoned.

**ACCESS TO PRIOR APPLICATION:** The filing of this CPA will be construed to include a waiver of confidentiality by the applicant under 35 U.S.C. 122 to the extent that any member of the public who is entitled under the provisions of 37 CFR 1.14 to access to, copies of, or information concerning, the prior application may be given similar access to, copies of, or similar information concerning, the other application or applications in the file jacket.

**35 U.S.C. 120 STATEMENT:** In a CPA, no reference to the prior application is needed in the first sentence of the specification and none should be submitted. If a sentence referencing the prior application is submitted, it will not be entered. A request for a CPA is the specific reference required by 35 U.S.C. 120 and to every application assigned the application number identified in such request, 37 CFR 1.78(a).

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provided credit card information and authorization on PTO-2038.

1. ☐ Enter the unentered amendment previously filed on \_\_\_\_\_ under 37 CFR 1.116 in the prior nonprovisional application.
2. ☒ A preliminary amendment is enclosed.
3. This application is filed by fewer than all the inventors named in the prior application, 37 CFR 1.53(d)(4).
  - a. ☐ DELETE the following inventor(s) named in the prior nonprovisional application: \_\_\_\_\_
  - b. ☐ The inventor(s) to be deleted are set forth on a separate sheet attached hereto.
4. ☐ A new power of attorney or authorization of agent (PTO/SB/81) is enclosed.
5. Information Disclosure Statement (IDS) is enclosed:
  - a. ☐ PTO-1449
  - b. ☐ Copies of IDS Citations

07/09/2002 A:\J\DAF1 00000076 09289550

0% FC:231  
02 FC:217370.00 3P  
450.00 0P

[Page 1 of 2]

31192/03854/SF/5078906.1

Please type a plus sign (+) inside this box



PTO/SB/29 (10-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
TOTAL CLAIMS (37 CFR 1.16(c))		20-20 =	0***	x \$___ =	\$ 0
INDEPENDENT CLAIMS (37 CFR 1.16(b))		3-3 =	0***	x \$___ =	\$ 0
MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d))				+ \$___ =	\$
				BASIC FEE (37 CFR 1.16(a))	\$ 370.00
PETITION FOR EXTENSION OF TIME FOR [THREE] MONTHS					\$ 460.00
				Total of above Calculations =	\$
Reduction by 50% for filing by small entity (Note 37 CFR 1.27).					\$
* Reissue claims in excess of 20 and over original patent. ** Reissue independent claims over original patent. *** Based on Preliminary Amendment filed herein.				TOTAL =	\$ 830.00

6. ☒ Small entity status: Applicant claims small entity status. See 37 CFR 1.27.
7. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
8. The Commissioner is hereby authorized to:
- a. ☐ Charge the indicated fees to Deposit Account No. 19-2555.
- b. ☒ Charge any additional fees required under 37 CFR 1.16, 1.17 and 1.18 or credit any overpayments to Deposit Account No. 19-2555.
9. ☒ A check in the amount of \$ 830.00 is enclosed.
10. ☒ Applicant Requests a 3 Month Extension of Time per 37 CFR 1.136 (a)(3).
11. ☐ Applicant requests suspension of action under 37 CFR 1.103(B) for a period of \_\_\_ months (not to exceed 3 months) and the fee under 37 CFR 1.17(i) is enclosed.
12. ☐ Receipt For Facsimile Transmitted CPA (PTO/SB/29A).
13. ☒ Return Receipt Postcard (Should be specifically itemized, See MPEP 503).
14. ☐ Other: .....

**NOTE:** The prior application's correspondence address will carry over to this CPA UNLESS a new correspondence address is provided below.

**14. NEW CORRESPONDENCE ADDRESS**



Customer Number and Bar Code Label



00758

**15. SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT REQUIRED**

Name (Print/Type)

Signature

Registration No. (Attorney/Agent)

Thomas L. Ewing, Reg. No. 34,328

Date

July 2, 2002